

# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.	SP01-235	Total Pages	3
First Named Inventor or Application Identifier   Chen et al			
Title   TUNABLE, RECONFIGURABLE OPTICAL ADD-DROP MULTIPLEXER AND A SWITCHING DEVICE			
Express Mail Label No.	EL689100715US		

**ADDRESS TO:**  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 11]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R&D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets 3]
4. ☐ Oath or Declaration [Total Pages ]  
☐ Newly executed (original or copy)  
☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other:

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 08/

Prior application information: Examiner: TBD Group / Art Unit: TBD

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 22928 or ☐ Correspondence address below

NAME	Brian Ainsworth				
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Name (Print/Type)	Svetlana Z. Short			Registration No. (Attorney/Agent)	34,432
Signature	Svetlana Z. Short			Date	8/17/01

# FEE TRANSMITTAL for FY 2000

## Complete if Known

Application Number	TBD
Filing Date	Herewith
First Named Inventor	Chen, Gang
Examiner Name	TBD
Group / Art Unit	TBD
Attorney Docket Number	SP01-235

**TOTAL AMOUNT OF PAYMENT** (\$) 710.00

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-3325

Deposit Account Name Corning Incorporated

☒ Charge Any Additional Fees Required Under 37 C.F.R. §§ 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	Utility filing fee	710.00
103	320	Design filing fee	
107	490	Plant filing fee	
108	710	Reissue filing fee	
113	150	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$ 710.00)</b>

#### 2. EXTRA CLAIM FEES

Total Claims	19 - 20**	Extra Fee from Claims below	Fee Paid
Independent Claims	3 - 3**	= 0 x 0 = 0	0
Multiple Dependent Claims		=	

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Fee (\$)	Fee Description
103	18	Claims in excess of 20
102	80	Independent claims in excess of 3
104	270	Multiple dependent claim, if not paid
109	80	** Reissue independent claims over original patent
110	18	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 0.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	390	Extension for reply within second month	
117	890	Extension for reply within third month	
118	1,390	Extension for reply within fourth month	
128	1,890	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive - unavoidable	
141	1,240	Petition to revive - unintentional	
142	1,240	Utility issue fee (or reissue)	
143	440	Design issue fee	
144	600	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	240	Submission of Information Disclosure Stmt	
581	40	Recording each patent assignment per property (times number of properties) <u>    </u> x	
146	710	Filing a submission after final rejection (37 C.F.R. § 1.129(a))	
149	710	For each additional invention to be examined (37 C.F.R. § 1.129(b))	
Other fee (specify) <u>          </u>			
Other fee (specify) <u>          </u>			
<b>Reduced by Basic Filing Fee Paid</b>			<b>SUBTOTAL (3)</b> (\$) <u>0</u>

#### SUBMITTED BY

#### Completed (if applicable)

Name (Print/Type)	Svetlana Z. Short	Registration No. (Attorney/Agent)	34,432
Signature	<i>Svetlana Short</i>	Date	8/17/01

Attorney Docket No.

Filing Date: 8/17/01

8/17/06

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is Addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

Signature \_\_\_\_\_

Printed Name: Svetlana Short

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